

Dossier Evaluation

**Bob Gilbertson, Professor of Plant Pathology
Member, Committee on Academic Personnel
(CAP)**

**Oversight Committee
2019-2020**



Role and Responsibilities of CAP

- Provide Academic Senate oversight of the personnel process
 - **Advise** the Vice Provost of Academic Affairs on all academic personnel actions, including matters of general policy
 - **Appoint** Faculty Personnel Committees (FPCs) at the college/school level, in consultation with Faculty Executive Committees
 - **Evaluate** and make recommendations on “major” actions: appointments, appraisals, promotions, high-level and 2 step merits (500-600 per year)
 - **Delegate** other merit actions to the FPCs

CAP Membership

- Nine members representing major campus units
 - Appointed to 3-year terms by the Committee on Committees (3 new members/year)
 - Prior personnel experience as FPC member or Department Chair, usually Professor Step 6 or above

CLS:
Division
of Social
Sciences

CLS:
Mathematics
& Physical
Science

CLS:
Humanities
Arts &
Culture

College of
Biological
Sciences

College of Ag &
Environmental
Sciences

Schools of Law,
Graduate
Management,
Education, Nursing

School of
Medicine

School of
Veterinary
Medicine

College of
Engineering

How Does CAP Function?

- Meets weekly, year-round
- Reviews 10-15 dossiers/week
 - **Primary reviewer** evaluates and presents case
 - All CAP members review, discuss, and vote on each dossier
 - Guided by **criteria in APM 210 and APM 220**
 - Recommendation and vote goes to VP Academic Affairs for final decision
 - CAP Appellate Committee



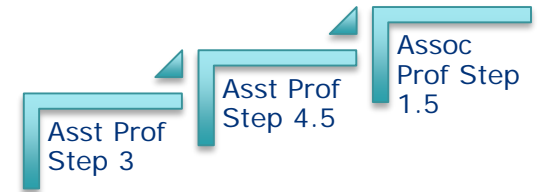


How Does CAP Function?

- CAP takes a **holistic view**
 - Doesn't just enumerate accomplishments
- CAP considers **field-specific factors**
 - Expectations vary widely across academic units
 - Needs to be clearly explained in the dossier
- CAP applies equitable standards across the entire campus

How Does CAP Function?

- **Appraisals:** positive/guarded/negative
- **Promotions:** normal time or accelerated (no step-plus)
- **Merits:** evaluated using Step-Plus criteria
 - 1.0 step: **'excellent' performance** in all areas
 - 1.5 steps: **outstanding performance** in one area
 - 2.0 steps: **outstanding performance in two (or more) areas**
 - Research, teaching, service, professional/clinical competence*
- **Equity adjustment:** CAP considers when overall record is consistent with expectations for a higher step



* mostly relevant to Clinical X series in SOM or SVM

Elements of a Dossier

- **Dean's Letter**
- **Department Letter**
 - Vote, comments
- **Extramural Letters**
 - Appointments/promotions
 - Arms-length and non-arms-length
- **Candidate Disclosure Form**
- **Candidate Statement** (optional)
- **Diversity Statement** (optional)
- **Rebuttal Letter** (if applicable)
- **Action History**



Elements of a Dossier

■ Teaching

- List of **teaching evaluations** (with links-hopefully includes student comments)
- Peer review
- Teaching, Advising, Curricular Development-especially **graduate student mentoring**

■ Service

- List of Service (university & professional)
- Expectation vary for Asst/Assoc/Full

■ Honors & Awards

■ Research & Creative work

- **Publication list** (articles, chapters, books, etc.)
- Creative activities (art, compositions, performances, etc.)
- Contributions to Jointly Authored Work-first/last vs. middle author
- Development of **independent program** (Asst/Assoc)
- **Grants & Contracts** (award period, amount, funding agency)
- Presentations

Preparing Your Dossier

- Focus on the review period
- Ensure the information is current and accurate
- Ensure the information is organized and in the correct category
- Errors compromise credibility
- Work closely with Department Chair and staff





Why a Candidate Statement? (its optional)

- A focused, clear, and succinct statement can convey important insights into your work
 - Address your audience: CAP members have diverse backgrounds
- Focus on the quality and significance of your work
 - Why is it important? Why is it innovative?
 - Write a narrative, don't reiterate lists and numbers
 - Identify your distinctive role in jointly-authored work
- Be forthright about your strengths and weaknesses
 - And the steps that you are taking to address the latter
- Mention any extenuating circumstances



Teaching


- Clearly demonstrated evidence of **high quality teaching** is an essential criterion for appointment, advancement, and promotion
 - Course load*, enrollments, evaluations (quantitative and comments), department averages
 - Mentoring (grad/undergrad, postdocs, residents, etc.)
 - Curriculum development (new courses, new materials, new approach, changes in curriculum)
 - Peer evaluation of teaching (promotions only)
 - Candidate statement: philosophy, goals, self-assessment
 - What constitutes outstanding teaching?

Professor: a college teacher of the highest rank





Research and Creative Work

- Evidence the candidate is continuously and effectively engaged in creative activity/research of **high quality and significance**
 - Originality, creativity, scope, and impact of articles and creative works
 - **Quality** of journals, book publishers, performance venues
 - The candidate's role in collaborative work-revealed by author position and role in obtaining funding (PI vs. co-PI)
 - Is the candidate establishing an independent research program?
 - Appraisals should include works in-progress to demonstrate trajectory
 - No single factor makes or breaks a case, but there must be some clear evidence of productivity
- 



University & Professional Service

- Faculty governance: the faculty play an important role in administration of the university...and in service to the community, state, nation, and profession
 - Limited for Assistant Professors; substantive at higher ranks
 - University Service:
 - Department, college, and campus committees; chair of department, grad group, emphasis area; graduate admissions; administration of core facilities
 - Professional and Public Service
 - Professional organizations, conference organizer, editorial boards, grant review panels, ad hoc reviews
 - Membership alone in a group or organization is NOT service
 - Keep your service record streamlined and updated

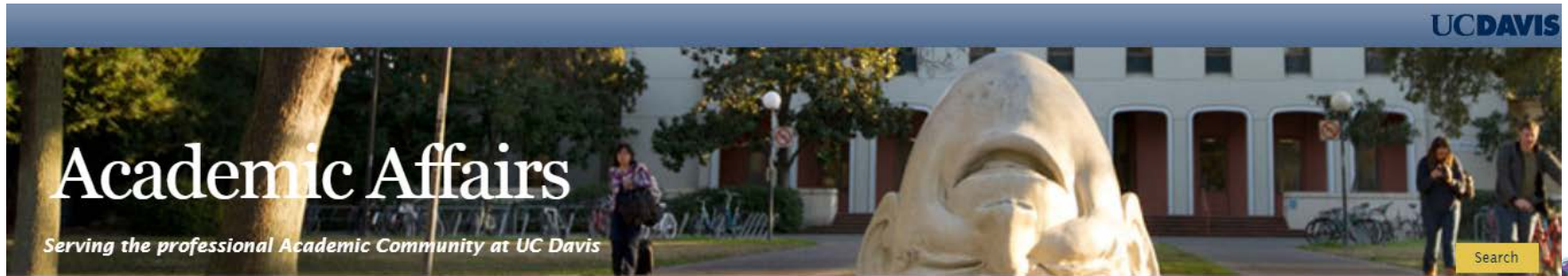
Tips for Success



- Balance is good
 - Don't focus intensively on one category to the detriment of others
 - Step Plus actions **must first meet expectations** in all areas of evaluation...this is one of the big challenges for Departments and Deans.....
- Collaborative work: clearly describe your individual contribution, evidence of a leadership role
- Beware of “predatory” online journals, both when publishing and when joining editorial boards

Resources

- Consult with senior colleagues, including faculty with experience on FPC or CAP
- Read the evaluation criteria in APM 210 and 220
- Use resources available in Academic Affairs
- Teaching resources, e.g., Center for Educational Effectiveness



<http://academicaffairs.ucdavis.edu>